Reviewer 1:

The revised manuscript has made significant improvements. A few remaining questions for clarification:

Line 86-90: Are cloud properties retrieved on its native MODIS/VIIRS resolution and then converted into CERES footprint or the radiances are converted into CERES footprint resolution first and then applied with cloud retrieval algorithm? If the latter, mention radiance then cloud property.

The cloud properties are retrieved on the native MODIS/VIRRS resolution, then averaged into the CERES footprint.

Line 164-167: The FM3 and FM5 response to LW seems to explain the NPP LW radiance smaller compared to Aqua LW radiance. But SW responses of FM3 and FM5 seem contradictory to the observed radiance differences.

What we discussed on lines 164-167 is the normalized instrument gains for each CERES FM3 and FM5 since the beginning of the mission. The changes provided are relative to the beginning of the mission for each instrument, or the relative changes over the years. The relative change of each instrument is different from the absolute differences shown in Figure 1.

Figure 6: Based on my understanding, VIIRS-like cloud would only affect the choice of ADM, not the generation of NB radiance for NPP footprint size and the conversion from NB to BB radiance. If this is the case, the right branch of the procedure for NPP with VIIRS-like retrieval is not accurate. Do step one and step two affected by cloud?

The reviewer is correct, the VIIRS-like cloud would only affect the selection of ADMs, but not the MODIS NB radiances and the conversion from NB to BB radiances. Figure 6 is modified accordingly and text describing the figure is also modified. Thank you for pointing this out.

Reviewer 2:

Overall comment:

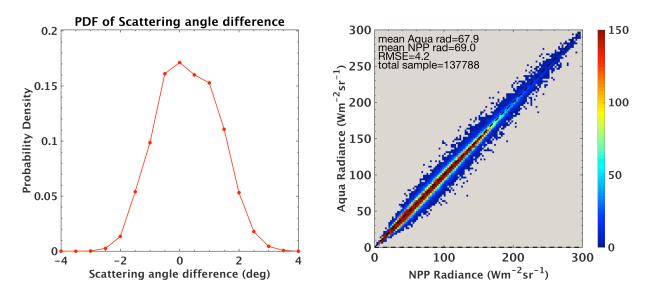
The manuscript has much improved from the first version I reviewed. However I still have a few concerns that I would like the authors to address.

Major comments:

Beginning of Section 2: you guys still haven't explained why you didn't use the scattering angle differences in your pixel matching algorithm. It's the scattering angle that really matters when comparing VIIRS and MODIS. When you do individual angle thresholds the differences can add up constructively and you end up with a large scattering angle difference, larger than you'd want to have in any case.

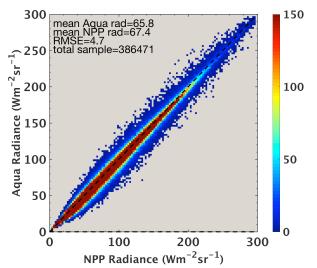
Please evaluate the scattering angle differences between MODIS and VIIRS in your selected footprints. Differences in individual zenith/azimuth angles can add up constructively and create significant scattering angle differences.

As we explained in our first round response, cos(scattering angle) = cos((SZA)cos(VZA) + sin(SZA)sin(VZA)cos(RAZ). The SW radiance matching criteria used for Fig. 1 and Table 1 are that latitude and longitude differences are less than 0.05 degree, and the SZA difference is less than 2 degrees, VZA difference is less than 2 degrees, and the relative azimuth angle difference is less than 5 degrees. To answer the reviewer's concern, we calculated the scattering angle differences between matched Aqua and NPP footprints. The PDF of the scattering angle differences is shown below on the left and the scattering angle differences are less than 3° for about 99.9% of the matched footprints. We added on page 7 that the criteria we used also provide tight constraint on scattering angle. When we added the scattering angle difference<2° to the matching criteria, the SW result (shown below on the right) is very similar to that in Figure 1 and Table 1 and don't change any conclusions in the paper (added on page 7).



To further illustrate that the SZA/VZA/RAZ matching criteria offer better angular matching than using scattering angle, we modified the SW footprint matching algorithm by using latitude and longitude differences less than 0.05 degree and scattering angle difference less than 2 degrees.

The comparison of matched Aqua and NPP footprints are shown below. One thing we notice is that the number of matched footprints increased from 147,894 (Table 1) to 386,471, and the RMSE also increased from 4.1 Wm-2sr-1 to 4.7 Wm-2sr-1.



56.6

Scat

57.4

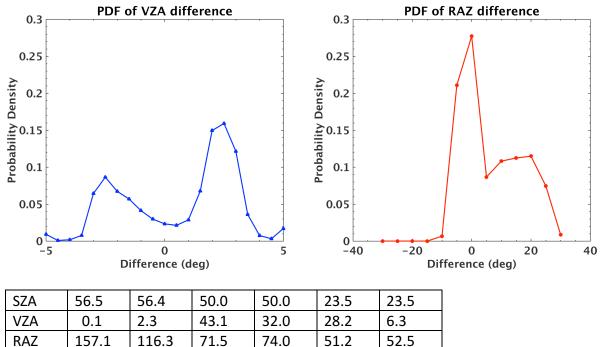
50.5

48.9

22.1

20.3

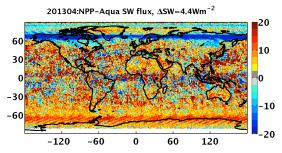
The reason that the number of matched footprints increased so much is that using scattering angle difference $<2^{\circ}$ to match footprints can introduce some large VZA and RAZ differences. Plots below show the PDFs of VZA and RAZ differences when the scattering angle differences are less than 2 degrees (the SZA differences are always less than 0.5 degrees as the data we used are when both satellites flew in tandem). There are significant number of matched footprints have VZA differences greater than 2 degrees and RAZ differences greater than 5 degrees. The table below shows three case where scattering angle differences are less than 2 degrees, but the RAZ difference can be 40 degrees (first case), the VZA difference can be 20 degrees (last case).



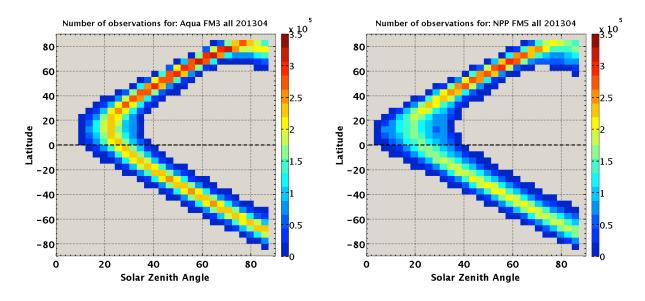
We hope the above explanation can help the reviewer understands why we use SZA/VZA/RAZ angles to match the footprints instead of scattering angles.

Figure 3 appears to contain an artifact such that it makes statements made in the paper invalid. Either correct the figure or explain the discrepancy / source of banding. Figure 3: Can you please explain the source of the dark blue band of lower insolation around 60 deg. N? That almost looks like some kind of an artifact. Based on that banding artifact, your discussion on Page 8 that TOA fluxes track insolation differences is not valid. The TOA fluxes do not display any banding at 60 deg. N.

Figure 3 shows the monthly mean TOA insolation differences (NPP-Aqua), the monthly mean TOA reflected SW flux difference plot was not included in the paper, but was included in our first round response (shown below for reference). The TOA reflected SW flux difference plot clearly shows the same "dark blue" band as that in Figure 3. We don't understand the reviewer's statement "The TOA fluxes do not display any banding at 60 deg. N.", as the "dark blue" band is definitely there. Maybe the reviewer is mistaken the albedo difference (Figure 4) for TOA flux difference.



The "dark blue" bands in both Figure 3 and the figure above are not an artifact, they are caused by the orbit differences between Aqua and S-NPP. Plots below shows the SZA density distributions for CERES-Aqua and CERES-NPP for different latitude zones for April 2013. At 60° N, the NPP overpasses at a lot more SZA>70 degrees than Aqua, which causes the solar insolation for NPP overpass time being smaller than that for Aqua, hence the TOA reflected SW flux (and this is why the "dark blue" band was not visible for the albedo plot). We modified a sentence on page 8 to reflect this fact: "Solar insolation for NPP overpass times are greater than that for Aqua overpass times over most regions, except over the northern high latitude where NPP has significantly more overpasses at θ_0 >70° than Aqua".



Minor comments:

Line 14: "... the imagers sharing the spacecraft with CERES-NPP... ." *Modified.*

Line 91: reference for the IGBP dataset? *Added.*

Line 98: Do you mean "VIIRS"? If not, please expand what VIRS stands for. Here VIRS (the Visible and Infrared Scanner) is the correct imager, it is already defined on line 51.

Line 200: "... to be applicable to the VIIRS observations...." *Modified.*

Line 207: ".... was generated " Modified.

Line 245: " ... except for small differences ... " *Modified.*

Line 365: "... the imagers sharing the spacecraft ... " They are mounted together, not flying in a constellation

Modified as "there are some differences between the imagers that are on the same spacecrafts as CERES-Aqua (MODIS) and CERES-NPP (VIIRS)".

Line 386: " ... five years" no dash *Modified to "five years".*

The effects of different footprint sizes and cloud algorithms on the
 top-of-atmosphere radiative flux calculation from the Clouds and
 Earth's Radiant Energy System (CERES) instrument on
 Suomi-NPP
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ABSTRACT

Only one CERES instrument is onboard the Suomi-NPP and it has been placed in cross-track 8 mode since launch, it is thus not possible to construct a set of angular distribution models 9 (ADMs) specific for CERES on NPP. Edition 4 Aqua ADMs are used for flux inversions for 10 CERES-NPP measurements. However, the footprint size of CERES-NPP is greater than 11 that of CERES-Aqua, as the altitude of the NPP orbit is higher than that of the Aqua orbit. 12 Furthermore, cloud retrievals from the Visible Infrared Imaging Radiometer Suite (VIIRS) 13 and the Moderate Resolution Imaging Spectroradiometer (MODIS), the imagers sharing the 14 spacecrafts with CERES-NPP and CERES-Aqua, are also different. To quantify the flux 15 uncertainties due to the footprint size difference between CERES-Aqua and CERES-NPP, 16 and due to both the footprint size difference and cloud property difference, a simulation 17 is designed using the MODIS pixel level data which are convolved with the CERES-Aqua 18 and CERES-NPP point spread functions into their respective footprints. The simulation is 19 designed to isolate the effects of footprint size and cloud property differences on flux uncer-20 tainty from calibration and orbital differences between CERES-NPP and CERES-Aqua. The 21 footprint size difference between CERES-Aqua and CERES-NPP introduces instantaneous 22 flux uncertainties in monthly gridded CERES-NPP of less than 4.0 Wm⁻² for SW, and less 23 than 1.0 Wm^{-2} for both daytime and nighttime LW. The global monthly mean instanta-24 neous SW flux from simulated CERES-NPP has a low bias of 0.4 Wm^{-2} when compares 25 to simulated CERES-Aqua, and the root-mean-square (RMS) error is 2.2 Wm^{-2} between 26 them; the biases of daytime and nighttime LW flux are close to zero with RMS errors of 0.8 27 Wm^{-2} and 0.2 Wm^{-2} . These uncertainties are within the uncertainties of CERES ADMs. 28 When both footprint size and cloud property (cloud fraction and optical depth) differences 29 are considered, the uncertainties of monthly gridded CERES-NPP SW flux can be up to 30 20 Wm^{-2} in the Arctic regions where cloud optical depth retrievals from VIIRS differ sig-31 nificantly from MODIS. The global monthly mean instantaneous SW flux from simulated 32 CERES-NPP has a high bias of 1.1 Wm^{-2} and the RMS error increases to 5.2 Wm^{-2} . LW 33

flux shows less sensitivity to cloud property differences than SW flux, with the uncertainties of about 2 Wm⁻² in monthly gridded LW flux, and the RMS errors of global monthly mean daytime and nighttime fluxes increase only slightly. These results highlight the importance of consistent cloud retrieval algorithms to maintain the accuracy and stability of the CERES climate data record.

³⁹ 1. Introduction

The Clouds and Earth's Radiant Energy System (CERES) project has been providing 40 data products critical to advancing our understanding of the effects of clouds and aerosols on 41 radiative energy within the Earth-atmosphere system. CERES data are used by the science 42 community to study the Earth's energy balance (e.g., Trenberth et al. 2009; Kato et al. 43 2011; Loeb et al. 2012; Stephens et al. 2012), aerosol direct radiative effects (e.g., Satheesh 44 and Ramanathan 2000; Zhang et al. 2005; Loeb and Manalo-Smith 2005; Su et al. 2013), 45 aerosol-cloud interactions (e.g., Loeb and Schuster 2008; Quaas et al. 2008; Su et al. 2010b), 46 and to evaluate global general circulation models (e.g., Pincus et al. 2008; Su et al. 2010a; 47 Wang and Su 2013; Wild et al. 2013). 48

Six CERES instruments have flown on four different satellites thus far. CERES pre-Flight 49 Model (FM) on Tropical Rainfall Measuring Mission (TRMM) was launched on November 50 27, 1997 into a 350-km circular precessing orbit with a 35° inclination angle and flew together 51 with the Visible and Infrared Scanner (VIRS). CERES instruments (FM1 and FM2) on Terra 52 were launched on December 18, 1999 into a 705-km sun-synchronous orbit with a 10:30 53 a.m. equatorial crossing time. CERES instruments (FM3 and FM4) on Aqua satellite were 54 launched on May 4, 2002 into a 705-km sun-synchronous orbit with a 1:30 p.m. equatorial 55 crossing time. CERES on Terra and Aqua flies alongside Moderate-Resolution Imaging 56 Spectroradiometer (MODIS). CERES instrument (FM5) was launched onboard Suomi-NPP 57 (hereafter referred to as NPP) on October 28, 2011 into a 824-km sun-synchronous orbit 58 with a 1:30 p.m. equatorial crossing time and flies alongside the Visible Infrared Imaging 59 Radiometer Suite (VIIRS). As the orbit altitudes differ among these satellites, the spatial 60 resolutions of CERES instruments also vary from each other. TRMM has the lowest orbit 61 altitude and offers the highest spatial resolution of CERES measurements, about 10 km at 62 nadir; the spatial resolution of CERES on Terra and Aqua is about 20 km at nadir; and is 63 about 24 km at nadir for NPP as it has the highest orbit altitude. 64

⁶⁵ The CERES instrument consists of a three-channel broadband scanning radiometer (Wielicki

et al. 1996). The scanning radiometer measures radiances in shortwave (SW, 0.3-5 μm), window (WN, 8-12 μm), and total (0.3-200 μm) channels. The longwave (LW) component is derived as the difference between total and SW channels. These measured radiances (I) at a given sun-Earth-satellite geometry are converted to outgoing reflected solar and emitted thermal TOA radiative fluxes (F) as:

$$F(\theta_0) = \frac{\pi I(\theta_0, \theta, \phi)}{R_j(\theta_0, \theta, \phi)}.$$
(1)

where θ_0 is the solar zenith angle, θ is the CERES viewing zenith angle, ϕ is the relative 71 azimuth angle between CERES and the solar plane, and $R_i(\theta_0, \theta, \phi)$ is the anisotropic factors 72 for scene type j. Here scene type is a combination of variables (e.g., surface type, cloud 73 fraction, cloud optical depth, cloud phase, aerosol optical depth, precipitable water, lapse 74 rate, etc) that are used to group the data to develop distinct angular distribution models 75 (ADMs). Note the SW ADMs are developed as a function of θ_0, θ, ϕ for each scene type, 76 whereas the LW ADMs are a weak function of θ_0 and ϕ and are developed only as a function 77 of θ (Loeb et al. 2005; Su et al. 2015a). 78

To facilitate the construction of ADMs, there are pairs of identical CERES instruments 79 on both Terra and Aqua. At the beginning of these missions one of the instruments on each 80 satellite was always placed in a rotating azimuth plane (RAP) scan mode, while the other 81 one was placed in cross-track mode to provide spatial coverage. When in RAP mode, the 82 instrument scans in elevation as it rotates in azimuth, thus acquiring radiance measurements 83 from a wide range of viewing combinations. There are about 60 months of RAP data collected 84 on Terra and about 32 months of RAP data collected on Aqua. CERES instruments fly 85 alongside high-resolution imagers, which provide accurate scene type information within 86 the CERES footprints. Cloud and aerosol retrievals based upon high-resolution imager 87 measurements are averaged over the CERES footprints by accounting for the CERES point 88 spread function (PSF, Smith 1994) and are used for scene type classification. Similarly, 89 spectral radiances from MODIS/VIIRS observations are averaged over the CERES footprints 90 weighted by the CERES PSF. Surface types are obtained from the International Geosphere 91

Biosphere Program (IGBP, Loveland and Belward 1997) global land cover data set. Fresh snow and sea ice surface types are derived from a combination of the National Snow and Ice Data Center (NSIDC) microwave snow/ice map and the National Environmental Satellite, Data and Information Service (NESDIS) snow/ice map. NESDIS uses imager data to identify snow and sea ice and provide snow and sea ice information near the coast, whereas NSIDC does not provide microwave retrievals within 50 km of the coast.

TRMM ADMs were developed using 9 months of CERES observations and the scene 98 identification information retrieved from VIRS observations (Loeb et al. 2003). Terra ADMs 99 and Aqua ADMs were developed separately using multi-vear CERES Terra and Aqua mea-100 surements in RAP mode and in cross-track mode using the scene identification information 101 from Terra MODIS and Aqua MODIS (Loeb et al. 2005; Su et al. 2015a). The high-resolution 102 MODIS imager provides cloud conditions for every CERES footprint. The cloud algorithms 103 developed by the CERES cloud working group retrieve cloud fraction, cloud optical depth, 104 cloud phase, cloud top and effective temperature/pressure (among other variables) based on 105 MODIS pixel-level measurements (Minnis et al. 2010). These pixel-level cloud properties 106 are spatially and temporally matched with the CERES footprints and are used to select the 107 scene-dependent ADMs to convert the CERES measured radiances to fluxes (Eq.1). The 108 spatial matching criterion used is 1 km. The temporal matching criterion used is less than 109 20 seconds when CERES is in cross-track mode, and less than 6 minutes when CERES is in 110 RAP mode. 111

There is only one CERES instrument on NPP and it has been placed in cross-track scan mode since launch, it is thus not feasible to develop a specific set of ADMs for CERES on NPP. Currently, the Edition 4 Aqua ADMs (Su et al. 2015a) are used to invert fluxes for the CERES measurements on NPP. The CERES footprint size on NPP is larger than that on Aqua. As pointed out by Di Girolamo et al. (1998), the nonreciprocal behavior of the radiation field depends on measurement resolution, which means the ADMs do too. They concluded that ADMs should be applied only to data of the same resolution as the

data used to derive the ADMs. Since the footprint sizes are different between CERES-Aqua 119 and CERES-NPP, will using ADMs developed based upon CERES-Aqua measurements for 120 CERES-NPP flux inversion introduce any uncertainties in the CERES-NPP flux? Addition-121 ally, ADMs are scene type dependent, it is important to use consistent scene identification 122 for developing and applying the ADMs. However, the VIIRS channels are not identical to 123 those of MODIS, especially the lack of 6.7 μ m and 13.3 μ m channels, caused the cloud prop-124 erties retrieved from MODIS and VIIRS differ from each other. These differences affect the 125 scene identification used to select the ADMs for flux inversion and thus can lead to addi-126 tional uncertainties in the CERES-NPP flux. In this study, we design a simulation study to 127 quantify the CERES-NPP flux uncertainties due to the footprint size difference alone, and 128 due to both the footprint size and cloud property differences. 129

¹³⁰ 2. Comparison between CERES-Aqua and CERES-NPP

Besides the altitude differences between Aqua and NPP satellites, they are also different 131 in other orbital characteristics. For example, the orbital period for Aqua is about 98.82 132 minutes, while it is about 101.44 minutes for NPP; and the orbital inclination for Aqua is 133 about 98.20°, while it is about 98.75° for NPP. These orbital differences result in different 134 local overpass times between Aqua and NPP and their orbits fly over each other about every 135 64 hours. These simultaneous observations from Aqua and NPP are matched to compare 136 SW and LW radiances using CERES Aqua Edition 4 Single Scanner Footprint TOA/Surface 137 Fluxes and Clouds (SSF) product and CERES NPP Edition 1 SSF product. Here we use I_a^m 138 to denote the CERES-Aqua (subscript a) measured (superscript m) radiance, and I_n^m as the 139 CERES-NPP (subscript n) measured radiance. Similarly, F_a^m and F_n^m are the fluxes derived 140 from I_a^m and I_n^m using CERES Aqua ADMs. The matching criteria used for SW radiances 141 are that the latitude and longitude differences between the Aqua footprints and the NPP 142 footprints are less than 0.05 degree, solar zenith angle and viewing zenith angle differences 143

are less than 2 degrees, and relative azimuth angle difference is less than 5 degrees. The matching criteria used here also provide a tight constraint on scattering angles, with about 95.6% and 99.9% of the matched footprints having scattering angle differences less than 2 degrees and 3 degrees. Same latitude and longitude matching criteria are used for LW radiances and the viewing zenith angle difference between the Aqua footprints and the NPP footprints is less than 2 degrees.

Figure 1 shows the SW, daytime LW, and nighttime LW radiance comparisons between 150 CERES-Aqua and CERES-NPP using matched footprints of 2013 and 2014. The total 151 number of matched footprints, the mean I_a^m and I_n^m , and the root-mean-square (RMS) errors 152 are summarized in Table 1. The mean SW I_n^m is about $1 \text{ Wm}^{-2} \text{sr}^{-1}$ greater than I_a^m , the mean 153 daytime LW I_n^m is about 0.4 Wm⁻²sr⁻¹ smaller than I_a^m , and the nighttime LW I_n^m and I_a^m 154 agree to within 0.1 Wm⁻²sr⁻¹. Excluding matched footprints with scattering angle difference 155 greater than 2 degrees does not change the SW comparison result. These comparisons 156 include data taken from nadir to oblique viewing angles ($\theta > 60$). The RMS errors remain 157 almost the same when we compare the radiances taken at different θ ranges. Footprint size 158 differences may also contribute to the radiance differences, but these radiance differences 159 should be random. It is likely that the footprint size differences can increase the RMS errors, 160 but the mean radiance differences are mostly resulted from calibration differences between 161 CERES-Aqua and CERES-NPP. As mentioned earlier, the daytime CERES LW radiance 162 is derived as the difference between total channel and SW channel measurements, and the 163 nighttime CERES LW radiance is directly derived from the total channel measurements. 164 The differences shown in Table 1 indicate that the agreement of the total channels between 165 CERES-Aqua and CERES-NPP are better than that of the SW channels, leading to a smaller 166 daytime LW difference than SW difference. Loeb et al. (2016) examined the normalized 167 instrument gains for the total and SW channels for CERES FM1-FM5 since the beginning 168 of the mission (BOM). The total channel response to LW radiation has gradually increased 169 with time for all instruments. For the two instruments (FM3 and FM5) that are of interest 170

here, the increases relative to the BOM are 0.7% for FM3 and 0.4% for FM5. The SW channel response increases about 0.4% for FM3 and decreases by 0.2% for FM5. Exact causes for the calibration differences between CERES-Aqua and CERES-NPP are not yet known and more research are needed to understand their differences. The future plan is to place CERES-NPP on the same radiometric scale as CERES-Aqua.

Flux comparison using the same matched footprints are shown in Figure 2 and the mean 176 F_a^m and F_n^m , and the RMS errors between them are summarized in Table 1. Consistent with 177 the radiance comparisons, the mean SW F_n^m is about 3.8 Wm⁻² greater than F_a^m , the mean 178 daytime LW F_n^m is about 1.0 Wm⁻² smaller than F_a^m , and the mean night time LW F_n^m is 179 about 0.3 $\mathrm{Wm^{-2}}$ smaller than F_a^m . When we compare the relative RMS errors (RMS error 180 divided by the mean Aqua value) between radiance and flux, the relative flux RMS errors 181 (6.4% for SW, 2.2% for daytime LW, and 1.4% for nighttime LW) are always slightly larger 182 than the relative radiance RMS errors (6.0% for SW, 2.1% for daytime LW, and 1.1% for 183 nighttime LW). This indicates that additional uncertainties are added when the radiances 184 are converted to fluxes. 185

However, we cannot directly compare the gridded monthly mean fluxes from Aqua and 186 NPP as their overpass times differ. Figure 3 shows the monthly mean TOA solar insolation 187 difference between CERES-NPP and CERES-Aqua for April 2013. Solar insolation for NPP 188 overpass times are greater than that for Aqua overpass times over most regions, except over 189 the northern high latitude where NPP has significantly more overpasses at $\theta_0 > 70^\circ$ than 190 Aqua. Regional differences as large as 30 Wm^{-2} are observed over the tropical regions and 191 north of 60°N. Globally, the CERES-NPP monthly mean solar insolation is greater than 192 that of CERES-Aqua by 13.4 Wm^{-2} for this month. When we compare the monthly gridded 193 TOA reflected SW flux between CERES-NPP and CERES-Aqua, most of the features re-194 semble those of the insolution differences (not shown). We thus compare the albedo between 195 CERES-NPP and CERES-Aqua (Figure 4). Over most regions, the albedo from CERES-196 NPP is greater than that from CERES-Aqua, except over parts of tropical oceans and 197

Antarctica where some negative differences are observed. The global monthly mean albedo from CERES-NPP is greater than that from CERES-Aqua by 0.003 (1.02%). The albedo difference is mostly from the calibration differences (see Figure 1a), while the footprint size difference and scene identification difference also contribute to the albedo difference.

The CERES cloud working group developed sophisticated cloud detection algorithms 202 using visible and infrared channels of MODIS separately for polar and non-polar regions and 203 for daytime, twilight, and nighttime (Trepte et al. 2010). However, these detection algorithms 204 have to be modified to be applicable to the VIIRS observations (Qing Trepte, personal 205 communication), as some of the MODIS channels utilized for cloud detection are not available 206 on VIIRS. These modifications include replacing the 2.1 μ m MODIS channel with the 1.6 207 μm VIIRS channel, and replacing detection tests using MODIS 6.7 μm and 13.3 μm channels 208 with VIIRS 3.7 μ m and 11 μ m channels, and supplement with tests utilizing VIIRS 1.6 μ m 209 channel and the brightness temperature differences between 11 μ m and 12 μ m. These changes 210 mainly affect the cloud detections over the polar regions. The parameterization of 1.24 211 μm reflectance was regenerated for VIIRS using improved wavelength and solar insolation 212 weighting, which affects cloud optical depth retrieval over the snow/ice surfaces (Szedung 213 Sun-Mack, personal communication). These changes result in different cloud properties 214 retrieved using MODIS and VIIRS, especially over the polar regions. Figure 5 shows the 215 daytime cloud fraction and cloud optical depth difference between VIIRS and Aqua-MODIS 216 for April 2013. Cloud fraction retrieved from VIIRS is greater than that from MODIS by 217 up to 10% and cloud optical depth from VIIRS is smaller than that from MODIS by $2\sim3$ 218 over part of the Antarctic. Cloud fraction from VIIRS over the northern high-latitude snow 219 regions is smaller than that from MODIS, while the optical depth from VIIRS is greater 220 than that from MODIS. Over the Arctic, cloud optical depth from VIIRS is much larger 221 than that from MODIS. Over the ocean between 60°S and 60°N, the differences in cloud 222 fraction seem rather random while the differences in cloud optical depth is mostly positive 223 (VIIRS retrieval is greater than Aqua-MODIS retrieval). 224

Given that the footprint sizes and overpass times are different between CERES-Aqua and CERES-NPP, in addition to the calibration differences and cloud retrieval differences between them, fluxes from these CERES instruments cannot be compared directly to assess the effects of footprint size difference and cloud property difference on flux uncertainty.

$_{229}$ 3. Method

To quantify the footprint size and cloud retrieval effect on flux inversion without having 230 to account for the calibration and overpass time differences, we design a simulation study 231 using the MODIS pixel level data and the Aqua-Earth-Sun geometry. MODIS spectral 232 measurements are used to retrieve cloud properties and aerosol optical depth. These pixellevel imager-derived aerosol and cloud properties, and spectral narrowband (NB) radiances 234 from MODIS are convolved with the CERES PSF to provide the most accurate aerosol and 235 cloud properties that are spatially and temporally matched with the CERES broadband 236 radiance data. Figure 6 illustrates the process of generating the simulated CERES-Aqua 237 and CERES-NPP footprints from the MODIS pixels. We first use the CERES-Aqua PSF 238 to convolve the aerosol/cloud properties, and the MODIS NB radiances (and other ancillary 239 data) into Aqua-size footprints (left portion of Figure 6), as is done for the standard CERES-240 Aqua SSF product. These NB radiances for the simulated CERES-Aqua footprints are 241 denoted as $I_a^s(\lambda)$, where superscript 's' is for the simulated (in contract to superscript 'm' 242 for the measured). We then increase the footprint size to be that of NPP and use the 243 CERES-NPP PSF to average the MODIS NB radiances, cloud/aerosol properties, and other 244 ancillary data into the simulated NPP footprints. NB radiances for the simulated CERES-245 NPP footprints are denoted as $I_n^s(\lambda)$. 246

Four months (July 2012, October 2012, January 2013, and April 2013) of simulated CERES-Aqua and CERES-NPP data were created. For every CERES-Aqua footprint, it contains the broadband SW and LW radiances measured by the CERES instrument. The simulated NPP footprints, however, do not contain broadband radiances. To circumvent
this issue, we developed narrowband-to-broadband coefficients to convert the MODIS NB
radiances to broadband radiances.

The Edition 4 CERES-Aqua SSF data from July 2002 to September 2007 are used to 253 derive the narrowband-to-broadband (NB2BB) regression coefficients separately for SW, 254 daytime LW, and nighttime LW. Seven MODIS spectral bands (0.47, 0.55, 0.65, 0.86, 1.24, 255 2.13, and 3.7 μ m) are used to derive the broadband SW radiances, and the SW regression 256 coefficients are calculated for every calendar month for discrete intervals of solar zenith angle, 257 viewing zenith angle, relative azimuth angle, surface type, snow/non-snow conditions, cloud 258 fraction, and cloud optical depth. Five MODIS spectral bands (6.7, 8.5, 11.0, 12.0, and 14.2 259 μ m) are used to derive the broadband LW radiances, and the LW regression coefficients are 260 calculated for every calendar month for discrete intervals of viewing zenith angle, precipitable 261 water, surface type, snow/none-snow conditions, cloud fraction, and cloud optical depth. The 262 20 IGBP surface types are grouped into 8 surface types: ocean, forest, savanna, grassland, 263 dark desert, bright desert, the Greenland permanent snow, and the Antarctic permanent 264 snow. When there is sea ice over the ocean and snow over the land surface types, regression 265 coefficients for ice and snow conditions are developed (only footprints with 100% sea ice/snow 266 coverage are considered). 267

These SW and LW NB2BB regression coefficients are then applied to $I_a^s(\lambda)$ and $I_n^s(\lambda)$ 268 to derive the broadband radiances, I_a^s and I_n^s , for simulated footprints of CERES-Aqua 269 and CERES-NPP, shown on the left and right of Figure 6, if the footprint consists of a 270 single surface type. As both simulated CERES-Aqua and CERES-NPP footprints use the 271 Aqua-Earth-Sun geometry, I_a^s and I_n^s have the same Sun-viewing geometry. Even though the 272 CERES-Aqua footprints contained the broadband radiances from CERES observations (I_a^m) , 273 we choose to use the broadband radiances calculated using the NB2BB regressions to ensure 274 that I_a^s and I_n^s are consistently derived. Doing so we can isolate the flux differences between 275 simulated CERES-Aqua and simulated CERES-NPP caused by footprint size difference. 276

The cloud properties in the simulated CERES-Aqua footprints and in the simulated 277 CERES-NPP footprints are all based upon the MODIS retrievals, so the scene identifications 278 used to select ADMs for flux inversion are almost the same for both the simulated CERES-279 Aqua and the CERES-NPP, except for small differences due to differing footprint sizes. 280 As demonstrated in Figure 5, cloud properties differ between the MODIS and the VIIRS 281 retrievals. These cloud retrieval differences affect the anisotropy factors selected for flux 282 inversion. To simulate both the footprint size and cloud property differences, cloud fraction 283 and cloud optical depth retrievals from MODIS convolved in the simulated CERES-NPP 284 footprints are adjusted to be similar to those from VIIRS retrievals to assess how cloud 285 retrieval differences affect the flux. To accomplish this, daily cloud fraction ratios of VIIRS 286 to MODIS are calculated for each 1° latitude by 1° longitude grid box. These ratios are then 287 applied to the cloudy footprints of MODIS retrieval to adjust the MODIS cloud fractions 288 to be nearly the same as those from VIIRS retrieval. Note no adjustment is done for clear 289 footprints. Similarly, daily cloud optical depth ratios of VIIRS to MODIS are calculated 290 using cloudy footprints for each 1° by 1° grid box. These ratios are used to adjust the MODIS 291 retrieved cloud optical depth to be close to those from VIIRS retrievals. The process of gen 292 erating the simulated CERES-NPP footprints with VIIRS-like cloud retrievals is illustrated 293 on the lower right portion of Figure 6. 294

Aqua ADMs are then used to convert I_a^s and I_n^s to fluxes, F_a^s and F_n^s , for the simulated CERES-Aqua and CERES-NPP footprints using the cloud properties retrieved from MODIS observations for scene type identification. To further access the effects of both footprint size and cloud property differences on flux inversion, Aqua ADMs are used to convert I_n^s to flux, $F_n^{'s}$, for the simulated CERES-NPP footprints using VIIRS-like cloud properties for scene identification.

301 4. Results

We first compare the footprint-level fluxes between simulated CERES-Aqua and simu-302 lated CERES-NPP using data of April 1, 2013 (about 700,000 footprints). As the cloud 303 fraction and cloud optical depth adjustments are done at the grid box level, it is not feasible 304 to compare footprint-level F_a^s and $F_n^{\prime s}$, and only footprint-level F_a^s and F_n^s are compared. 305 For SW, the bias between F_a^s and F_n^s is 0.1 Wm⁻² and the RMS error is 4.7 Wm⁻². For 306 LW, the biases is close to zero and the RMS errors are 1.3 Wm^{-2} and 0.9 Wm^{-2} for daytime 307 and nighttime, respectively. These flux RMS errors are much smaller than those listed in 308 Table 1, indicating that calibration differences are responsible for most of the flux differences 309 between CERES-Aqua and CERES-NPP measurements. However, we should avoid direct 310 comparisons between these two sets of RMS errors, as they are derived using different time 311 period. 312

We now compare the monthly grid box (1° latitude by 1° longitude) mean fluxes from the three simulations outlined in the previous section. Differences between F_n^s and F_a^s are used to assess the CERES-NPP gridded monthly mean instantaneous flux uncertainties due to the footprint size difference, and differences between $F_n^{'s}$ and F_a^s are used to assess the CERES-NPP gridded monthly mean instantaneous flux uncertainties due to both the footprint size and cloud property differences.

The monthly mean instantaneous TOA SW fluxes for simulated CERES-Aqua $({\cal F}^s_a)$ are 319 shown in Figure 7(a) for April 2013. Note these fluxes are different from those in the Edition 320 4 Aqua SSF product as the CERES measured radiances differ from those inferred using 321 NB2BB regression coefficients. The flux differences caused by the footprint size difference 322 between the simulated CERES-NPP and the simulated CERES-Aqua $(F_n^s - F_a^s)$ are shown in 323 Figure 7(b). Grid boxes in white indicate that the number of footprints with valid SW fluxes 324 differ by more than 2% between simulated CERES-Aqua and CERES-NPP, as the NB2BB 325 regressions are only applied to footprints that are consist of the same surface types which 326 result in fewer footprints with valid fluxes for CERES-NPP than for CERES-Aqua. The 327

footprint size difference between CERES-Aqua and CERES-NPP introduces an uncertainty 328 that rarely exceeds 4.0 Wm⁻² in monthly gridded CERES-NPP instantaneous SW fluxes. 329 For global monthly mean instantaneous SW flux, the simulated CERES-NPP has a low bias 330 of 0.4 Wm^{-2} compares to the simulated CERES-Aqua, and the RMS error between them is 331 2.4 Wm⁻². Results from the other three months are very similar to April 2013 (not shown). 332 Figure 7(c) shows the SW flux difference caused by both the footprint size and cloud prop-333 erty differences $(F_n^{'s} - F_a^s)$. Adding the cloud property differences increase the CERES-NPP 334 flux uncertainty comparing to when only footprint size differences are considered (Figure 335 7(b)), monthly gridded instantaneous flux uncertainty over the Arctic ocean can exceed 20 336 Wm⁻². Accounting for cloud property differences, the global monthly mean instantaneous 337 SW flux from simulated CERES-NPP has a high bias of 1.1 Wm^{-2} and the RMS error is 338 increased to 5.2 Wm⁻². Over the Arctic Ocean, the cloud optical depth from VIIRS retrieval 339 is much greater than that from the MODIS retrieval while the difference in cloud fraction is 340 relatively small. Anisotropic factors for thick clouds are smaller than those for thin clouds 341 at oblique viewing angles, and are larger for near-nadir viewing angles. The viewing ge-342 ometries over the Arctic Ocean produced more smaller anisotropic factors than larger ones 343 when MODIS cloud optical depths were replaced with VIIRS-like cloud optical depths, which 344 resulted in larger fluxes when using VIIRS-like cloud properties for flux inversion. 345

The daytime and nighttime LW flux from the simulated CERES-Aqua footprints, LW 346 flux differences due to footprint size difference, and LW flux difference due to both footprint 347 size difference and cloud property difference are shown in Figures 8 and 9. The effect of 348 footprint size on gridded monthly mean daytime and nighttime LW flux is generally within 349 1.0 Wm⁻². For global monthly mean LW flux, the differences between $F_n^s - F_a^s$ are close to 350 zero, and the RMS errors between them are about 0.8 Wm^{-2} and 0.2 Wm^{-2} for daytime 351 and nighttime LW fluxes. When cloud property differences are also considered, their effect 352 on gridded monthly mean LW fluxes increases to about 2 Wm⁻². The RMS errors of global 353 monthly mean LW flux increase slightly to about 0.9 Wm^{-2} and 0.5 Wm^{-2} for daytime and 354

nighttime. The LW fluxes showed much less sensitivity to cloud property changes than the
SW fluxes, especially over the Arctic Ocean where cloud optical depth changed significantly.
This is because the LW ADMs over the snow/ice surfaces have very little sensitivity to cloud
optical depth (Su et al. 2015a), but they were developed for discrete cloud fraction intervals
and larger flux changes are noted in regions experiencing large cloud fraction changes.

5. Summary and discussion

The scene-type dependent ADMs are used to convert the radiances measured by the 361 CERES instruments to fluxes. Specific empirical ADMs were developed for CERES instru-362 ments on TRMM, Terra, and Aqua (Loeb et al. 2003, 2005; Su et al. 2015a). As there is only 363 one CERES instrument on NPP and it has been placed in cross-track mode since launch. 364 it is not possible to construct a set of ADMs specific for CERES on NPP. Edition 4 Aqua 365 ADMs (Su et al. 2015a) are thus used for flux inversions for CERES-NPP measurements. 366 However, the altitude of the NPP orbit is higher than that of the Aqua orbit resulting in 367 a larger CERES footprint size on NPP than on Aqua. Given that the footprint size of 368 CERES-NPP is different from that of CERES-Aqua, we need to quantify the CERES-NPP 369 flux uncertainty caused by using the CERES-Aqua ADMs. Furthermore, there are some 370 differences between the imagers that are on the same spacecrafts as CERES-Aqua (MODIS) 371 and CERES-NPP (VIIRS), as VIIRS lacks the 6.7 μ m and 13.3 μ m channels. These spectral 372 differences and algorithm differences lead to notable cloud fraction and cloud optical depth 373 differences retrieved from MODIS and VIIRS. As the anisotropy factors are scene-type de-374 pendent, differences in cloud properties will also introduce uncertainties in flux inversion. 375 Furthermore, the calibrations between CERES instruments on Aqua and on NPP also are 376 different from each other. Comparisons using two years of collocated CERES-Aqua and 377 CERES-NPP footprints indicate that the SW radiances from CERES-NPP are about 1.5%378 greater than those from CERES-Aqua, the daytime LW radiances from CERES-NPP are 379

about 0.5% smaller than those from CERES-Aqua, and the nighttime LW radiances agree to within 0.1%.

To quantify the flux uncertainties due to the footprint size difference between CERES-382 Aqua and CERES-NPP, and due to both the footprint size difference and cloud property 383 difference, we use the MODIS pixel level data to simulate the CERES-Aqua and CERES-384 NPP footprints. The simulation is designed to isolate the effects of footprint size differ-385 ence and cloud property difference on flux uncertainty from calibration difference between 386 CERES-NPP and CERES-Aqua. The pixel-level MODIS spectral radiances, the imager-387 derived aerosol and cloud properties, and other ancillary data are first convolved with the 388 CERES Aqua PSF to generate the simulated CERES-Aqua footprints, and then convolved 389 with the CERES NPP PSF to generate the simulated CERES-NPP footprints. Broadband 390 radiances within the simulated CERES-Aqua and CERES-NPP footprints are derived us-391 ing the MODIS spectral bands based upon narrowband-to-broadband regression coefficients 392 developed using five years of Aqua data to ensure consistency between broadband radi-393 ances from simulated CERES-Aqua and CERES-NPP. These radiances are then converted 394 to fluxes using the CERES-Aqua ADMs. The footprint size difference between CERES-Aqua 395 and CERES-NPP introduces instantaneous flux uncertainties in monthly gridded CERES-396 NPP of less than 4.0 Wm^{-2} for SW, and less than 1.0 Wm^{-2} for both daytime and nighttime 397 LW. The global monthly mean instantaneous SW flux from simulated CERES-NPP has a 398 low bias of 0.4 Wm⁻² compares to that from simulated CERES-Aqua, and the RMS error 399 between them is 2.4 Wm^{-2} . The biases in global monthly mean LW fluxes are close to zero, 400 and the RMS errors between simulated CERES-NPP and simulated CERES-Aqua are about 401 0.8 Wm^{-2} and 0.2 Wm^{-2} for daytime and nighttime global monthly mean LW fluxes. 402

The cloud properties in the simulated CERES-Aqua footprints and in the simulated CERES-NPP footprints are all based upon MODIS retrievals, but in reality cloud properties retrieved from VIIRS differ from those from MODIS. To assess the flux uncertainty from scene identification differences, cloud fraction and cloud optical depth in the simulated

CERES-NPP footprints are perturbed to be more like the VIIRS retrievals. When both 407 footprint size and cloud property differences are considered, the uncertainties of monthly 408 gridded CERES-NPP SW flux can be up to 20 Wm^{-2} in the Arctic regions where cloud 409 optical depth retrievals from VIIRS differ significantly from MODIS. The global monthly 410 mean instantaneous SW flux from simulated CERES-NPP has a high bias of 1.1 Wm^{-2} and 411 the RMS error is increased to 5.2 Wm^{-2} . LW flux shows less sensitivity to cloud property 412 differences than SW flux, with the uncertainties of about 2.0 Wm^{-2} in monthly gridded LW 413 flux, and the RMS errors increases to 0.9 Wm^{-2} and 0.5 Wm^{-2} for daytime and nighttime 414 LW flux. 415

Su et al. (2015b) quantified the global monthly 24hr-averaged flux uncertainties due to 416 CERES ADMs using direct integration tests, and concluded that the RMS errors are less 417 than 1.1 Wm^{-2} and 0.8 Wm^{-2} for 24hr-averaged TOA SW and LW fluxes. The uncertainty 418 for global monthly instantaneous SW flux is approximately twice the uncertainty of 24hr-419 averaged flux. This simulation study indicates that the footprint size differences between 420 CERES-NPP and CERES-Aqua introduce flux uncertainties that are within the uncertain-421 ties of the CERES ADMs. However, the uncertainty assessment provided here should be 422 considered as the low end, as many regions (especially over land, snow, and ice) were not 423 included due to sample number differences within the grid boxes. When cloud property 424 differences are accounted for, the SW flux uncertainties increase significantly and exceed the 425 uncertainties of the CERES ADMs. These findings indicate that inverting CERES-NPP flux 426 using CERES-Aqua ADMs resulting in flux uncertainties that are within the ADMs uncer-427 tainties as long as the cloud retrievals between VIIRS and MODIS are consistent. When 428 the cloud retrieval differences between VIIRS and MODIS are accounted for, the SW flux 429 uncertainties exceed those of the CERES ADMs. To maintain the consistency of the CERES 430 climate data record, it is thus important to develop cloud retrieval algorithms that account 431 for the capabilities of both MODIS and VIIRS to ensure consistent cloud properties from 432 both imagers. 433

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TABLE 1. Comparison of CERES-Aqua and CERES-NPP measured SW, daytime LW, and nighttime LW radiances $(Wm^{-2}sr^{-1})$ and fluxes (Wm^{-2}) using matched footprints of 2013 and 2014.

	SW	Daytime LW	Nighttime LW
Sample Number	147894	192178	187880
Mean CERES-Aqua Radiance	68.1	77.4	74.4
Mean CERES-NPP Radiance	69.2	77.0	74.3
Radiance RMS Error	4.1	1.6	0.8
Mean CERES-Aqua Flux	230.1	235.7	226.4
Mean CERES-NPP Flux	233.9	234.7	226.1
Flux RMS Error	14.6	5.0	3.1

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545		c) using April 2013 data. Regions shown in white have large sample number	
546		differences between simulated Aqua and simulated NPP.	33

8 The gridded monthly mean TOA daytime LW fluxes from the simulated Aqua 547 footprints (F_a^s, a) , the flux differences caused by footprint size difference be-548 tween simulated NPP and simulated Aqua $(F_n^s - F_a^s, \mathbf{b})$, and the flux differ-549 ences caused by both footprint size and cloud property differences $(F_n^{\prime s}-F_a^s,$ 550 c) using April 2013 data. Regions shown in white have large sample number 551 differences between simulated Aqua and simulated NPP. 34552 9 The gridded monthly mean TOA nighttime LW fluxes from the simulated 553 Aqua footprints (F_a^s, a) , the flux differences caused by footprint size difference 554 between simulated NPP and simulated Aqua $(F_n^s - F_a^s, \mathbf{b})$, and the flux differ-555 ences caused by both footprint size and cloud property differences $(F_n^{\prime s}-F_a^s,$ 556 c) using April 2013 data. Regions shown in white have large sample number 557 differences between simulated Aqua and simulated NPP. 35558

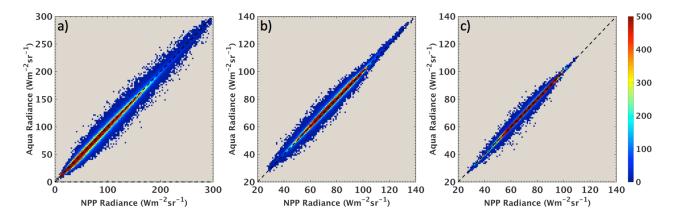


FIG. 1. Radiance comparisons between matched CERES-Aqua and CERES-NPP footprints, (a) SW; (b) daytime LW; and (c) nighttime LW using data of 2013 and 2014.

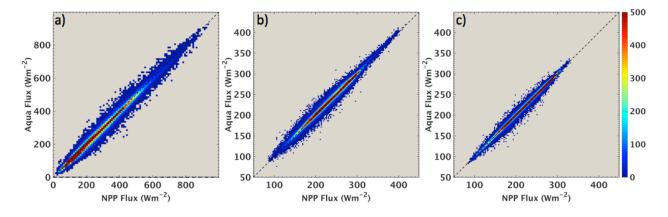


FIG. 2. Flux comparisons between matched CERES-Aqua and CERES-NPP footprints, (a) SW; (b) daytime LW; and (c) nighttime LW using data of 2013 and 2014.

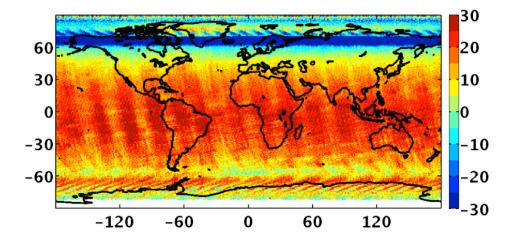


FIG. 3. Monthly mean solar insolation difference (Wm^{-2}) between CERES-NPP and CERES-Aqua (NPP-Aqua) for April 2013.

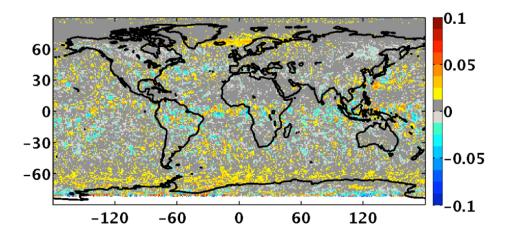


FIG. 4. Monthly mean albedo difference between CERES-NPP and CERES-Aqua (NPP-Aqua) for April 2013.

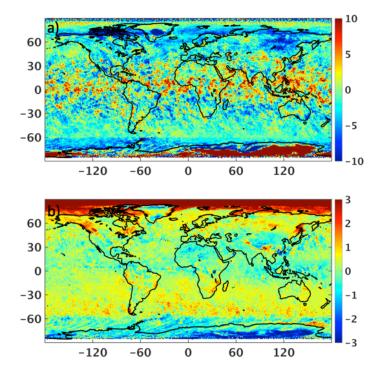


FIG. 5. Cloud fraction (a) and cloud optical depth (b) differences between VIIRS and MODIS (VIIRS-MODIS) retrievals for April 2013.

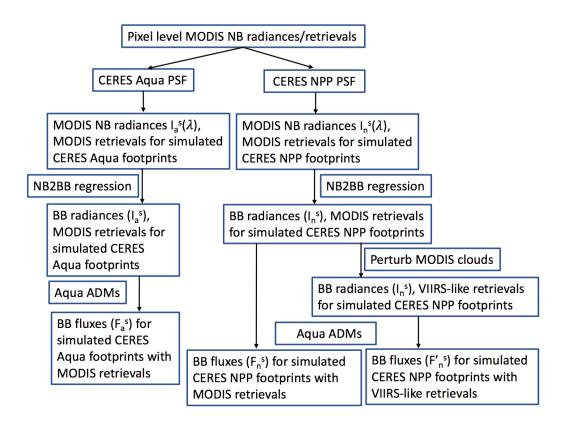


FIG. 6. Schematic diagram of convoluting the MODIS pixels into the simulated Aqua and NPP footprints. Left depicts the processes involved in producing the simulated Aqua footprints; middle for simulated NPP footprints with MODIS retrievals; and right for simulated NPP footprints with VIIRS-like retrievals.

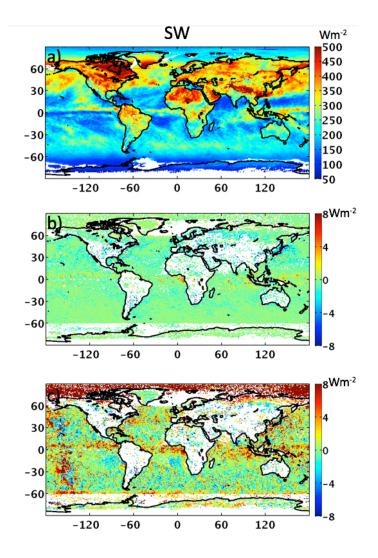


FIG. 7. The gridded monthly mean TOA instantaneous SW fluxes from the simulated Aqua footprints (F_a^s, a) , the flux differences caused by footprint size difference between simulated NPP and simulated Aqua $(F_n^s - F_a^s, b)$, and the flux differences caused by both footprint size and cloud property differences $(F_n^{'s} - F_a^s, c)$ using April 2013 data. Regions shown in white have large sample number differences between simulated Aqua and simulated NPP.

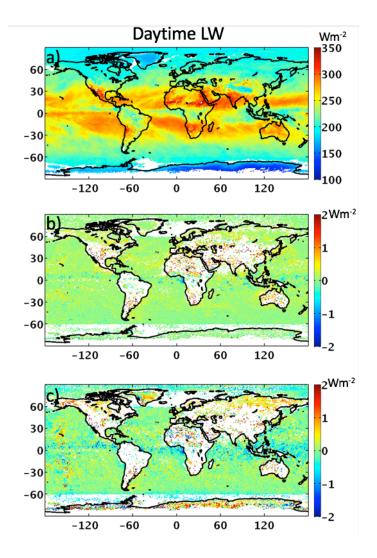


FIG. 8. The gridded monthly mean TOA daytime LW fluxes from the simulated Aqua footprints (F_a^s , a), the flux differences caused by footprint size difference between simulated NPP and simulated Aqua ($F_n^s - F_a^s$, b), and the flux differences caused by both footprint size and cloud property differences ($F_n^{'s} - F_a^s$, c) using April 2013 data. Regions shown in white have large sample number differences between simulated Aqua and simulated NPP.

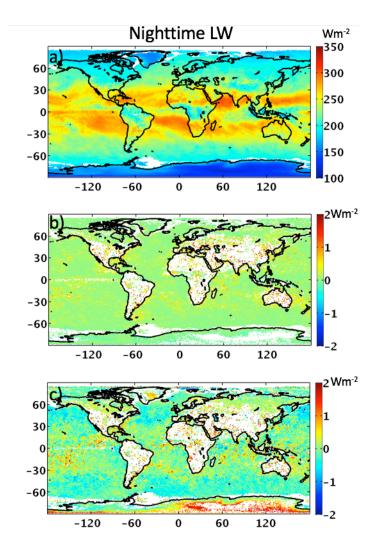


FIG. 9. The gridded monthly mean TOA nighttime LW fluxes from the simulated Aqua footprints (F_a^s , a), the flux differences caused by footprint size difference between simulated NPP and simulated Aqua ($F_n^s - F_a^s$, b), and the flux differences caused by both footprint size and cloud property differences ($F_n^{'s} - F_a^s$, c) using April 2013 data. Regions shown in white have large sample number differences between simulated Aqua and simulated NPP.